



PTO/SB/21 (05-03)

Approved for use through 04/30/2003. OMB 0651-0031

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| TRANSMITTAL FORM <i>(to be used for all correspondence after initial filing)</i> | Application Number | 10/726,130 | |
| | Filing Date | Dec 1, 2003 | |
| | First Named Inventor | Sun, Yupin | |
| | Art Unit | 2873 | |
| | Examiner Name | unknown | |
| Total Number of Pages in This Submission | 5* | Attorney Docket Number | 3084.017 |

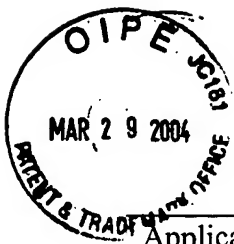
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| Remarks *Exclusive of patents and publications | | |

| SIGNATURE OF APPLICANT, ATTORNEY, OR AGENT | |
|--|---|
| Firm or Individual name | SINSHEIMER, SCHIEBELHUT & BAGGETT by Julie A. Hopper (Reg. No. 50869) |
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IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicant(s): Sun et al.

Serial No.: 10/726,130

Filed: 12/1/2003

Title: APPARATUS AND METHOD FOR
USE IN FULFILLING
ILLUMINATION PRESCRIPTION

Group Art Unit:

2873

Examiner:

unknown

Attorney Docket No.: 3084.017

Commissioner for Patents
P.O. Box 1450
Alexandria, VA 22313-1450

INFORMATION DISCLOSURE STATEMENT

Dear Sir:

This Information Disclosure Statement is submitted:

- ☒ under 37 CFR 1.97(b), or
(Within three months of filing national application; or date of entry of international application; or before mailing date of first office action on the merits; whichever occurs last)
- ☐ under 37 CFR 1.97(c) together with either a:
☐ Statement under 37 CFR 1.97(e), or
☐ a \$180.00 fee under 37 CFR 1.17(p), or
(After the CFR 1.97(b) time period, but before final action or notice of allowance, whichever occurs first)
- ☐ under 37 CFR 1.97(d) together with a:
☐ Statement under 37 CFR 1.97(e), and
☐ a \$180.00 fee set forth in 37 CFR 1.17(p).
(Filed after final action or notice of allowance, whichever occurs first, but before payment of the issue fee)

☒ Applicant(s) submit herewith Form PTO/SB/08A Information Disclosure Citation together with copies, of patents, publications or other information of which applicant(s) are aware, which applicant(s) believe(s) may be material to the examination of this application and for which there may be a duty to disclose in accordance with 37 CFR 1.56.

The items listed on PTO/SB/08A are either in the English language or an English translation is provided, therefore, no further explanation is required, with the exception of the following non-English reference. A concise explanation, as presently understood, is as follows:

SU 1282051 A1 appears to be related to a luminous energy collimator having a paraboloid axis inclined at angle towards symmetry axis given by relationship.

Applicant submits that the above references taken alone or in combination neither anticipates nor renders obvious the present invention. Consideration of the foregoing in relation to this application is respectfully requested.

It is requested that the information disclosed herein be made of record in this application

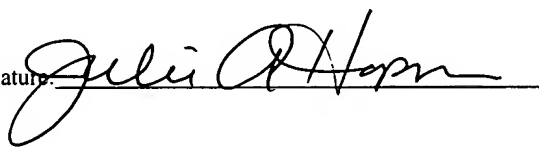
Respectfully submitted,

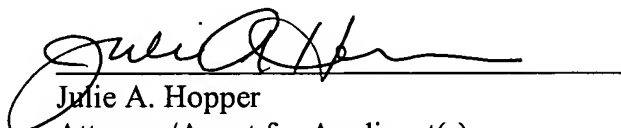
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SINSHEIMER, SCHIEBELHUT &
BAGGETT

Date of Deposit: March 26, 2004

Typed Name: Julie A. Hopper

Signature: 


Julie A. Hopper
Attorney/Agent for Applicant(s)
Reg. No. 50869

Date: March 26, 2004

Telephone No.: (805) 781-2824



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INFORMATION DISCLOSURE STATEMENT BY APPLICANT

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|------------------------|------------|
| Application Number | 10/726,130 |
| Filing Date | 12/1/2003 |
| First Named Inventor | Sun et al. |
| Art Unit | 2873 |
| Examiner Name | unknown |
| Attorney Docket Number | 3084.017 |

U.S. PATENT DOCUMENTS

| Examiner Initials* | Cite No. ¹ | Document Number | Publication Date MM-DD-YYYY | Name of Patentee or Applicant of Cited Document | Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear |
|-----------------------|--------------------------|--|--------------------------------|--|---|
| | | Number - Kind Code ² (if known) | | | |
| | | US appl no. 10/269,479 | 10-11-2002 | Benitez | |
| | | US appl no. 10/461,557 | 06-12-2003 | Minano | |
| | | US appl no. 10/622,874 | 07-18-2003 | Minano | |
| | | US appl no. 10/772,088 | 02-03-2004 | Minano, et al. | |
| | | US appl no. 10/779,259 | 02-13-2004 | Benitez | |

FOREIGN PATENT DOCUMENTS

| Examiner Initials* | Cite No. ¹ | Foreign Patent Document | Publication Date MM-DD-YYYY | Name of Patentee or Applicant of Cited Document | Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear | T ⁶ |
|-----------------------|--------------------------|---|--------------------------------|--|---|----------------|
| | | Country Code ³ - Number ⁴ - Kind Code ⁵ (if known) | | | | |
| | | SU 1282051 A1 | 01-07-1987 | Spigulis | | |
| | | EP 0 450 560 A2 | 10-09-1991 | Total, et al. | | |
| | | WO 99/09349 | 02-25-1999 | De Coma International Inc. | | |
| | | WO 99/13266 | 03-18-1999 | Simon | | |
| | | WO 01/07828 A1 | 02-01-2001 | Pelka | | |
| | | WO 03/066374 A2 | 08-14-2003 | Steen, et al. | | |
| | | WO 03/066374 A3 | 08-14-2003 | Steen | | |
| | | WO 04/007241 A2 | 01-22-2004 | Steen, et al. | | |

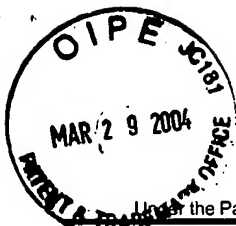
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| Application Number | 10/726,130 |
| Filing Date | 12/1/2003 |
| First Named Inventor | Sun et al. |
| Art Unit | 2873 |
| Examiner Name | unknown |
| Attorney Docket Number | 3084.017 |

NON PATENT LITERATURE DOCUMENTS

| Examiner Initials* | Cite No. | Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published. | T ² |
|-----------------------|-------------|---|----------------|
| | | Remillard, Everson and Weber, "Loss Mechanisms Optical Light Pipes" <i>Applied Optics</i> Vol 31 #34 pp. 7232-7241 December 1992. | |
| | | Parkyn et al "The Black Hole™: Cusped waveguide-injectors and illuminators for LEDs; Part of the SPIE Conference on Nonimaging Optics: Maximum Efficiency Light Transfer V, Denver, CO, July 1999. | |
| | | Hyper ARGUS®LED, Hyper-Bright, 3mm (T1) LED, Non Diffused; 3-1-2000; Infineon Technologies, pp. 1-9. | |
| | | Spigulis, "Compact dielectric reflective elements, Half-sphere concentrators of radially emitted light" <i>Applied Optics</i> Vol. 33, No. 25, September 1994. | |
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| Examiner Signature | Date Considered |
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¹Applicant's unique citation designation number (optional). ²Applicant is to place a check mark here if English language Translation is attached. This collection of information is required by 37 CFR 1.98. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 2 hours to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

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